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ABSTRACT

This brief guide to the Research Programs Division of the National Endowment for the Humanities covers basic information, describes programs, and summarizes policies and procedures. An introductory section describes the division and its mission to encourage the development and dissemination of significant knowledge and scholarship in the humanities. It also provides the Division's definition of humanities, notes presidential directives and special initiatives, discusses eligibility and choosing programs, and lists things that the Endowment does not support. A central section describes each of the Division's programs in turn: fellowships, summer stipends, the graduate study program for historically black colleges and universities, dissertation grants, editions, translations, subventions, reference materials, basic research, archeology projects, humanities studies of science and technology, conferences, centers for advanced study, and international research organizations. An example of a typical application is provided for each program. A final section on policies and procedures covers applications, evaluation criteria, the review process, project budgets, outright and matching funds, cost sharing, general advice, application deadlines, and a list of staff with their telephone numbers. (JB)

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A Guide to the Division of Research Programs

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GUIDE TO THE DIVISION OF RESEARCH PROGRAMS

National Endowment for the Humanities

May 1995

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THE DIVISION OF RESEARCH PROGRAMS

The Division of Research Programs encourages the development and dissemination of significant knowledge and scholarship in the humanities. The division provides up to one year of support for college and university faculty and independent scholars to pursue independent study and research; for doctoral candidates to complete their dissertations; and for faculty members at historically black colleges and universities to advance their graduate studies. The division also provides up to three years of support for the preparation for publication of editions and translations of important humanities documents; for the preparation of reference materials; for major interpretive studies, including those linking the humanities with science and technology; for research conferences; for important archaeological excavations and publications; and for the development of research opportunities through programs conducted by scholarly organizations and independent research centers in the United States and abroad. It promotes individual achievement and encourages scholarly collaboration, especially when such collaboration promises to introduce multidisciplinary perspectives or to widen perspectives within a single discipline. The division also seeks to respond to scholarly needs and to opportunities for cooperation with other agencies, foundations, and institutions, whether public or private, domestic or foreign. The Endowment actively encourages nonfederal support for humanities projects by making matching offers to stimulate private giving.

Prospective applicants should use this guide to familiarize themselves with the programs of the Research Division. The next step is to consult with division staff and request application instructions and forms for the program that seems most appropriate for the project. **Staff members are available to advise applicants about the eligibility of projects and the preparation of applications. Except for NEH Fellowships, Summer Stipends, and Dissertation Grants, staff members will also read and comment on draft proposals.**

In all cases, Endowment support is restricted to projects that are exemplary in significance and both productive and efficient in their use of human and material resources. To help evaluators assess the significance of proposals, applicants are asked to answer the following questions:

1. Why do you consider this work to be important?
2. What difference will the results make, and to whom?

THE HUMANITIES

According to the act that established the National Endowment for the Humanities, "the term 'humanities' includes, but is not limited to, the study of the following: language, both modern and classical; linguistics; literature; history; jurisprudence; philosophy; archaeology; comparative religion; ethics; the history, criticism, and theory of the arts; those aspects of social sciences which have humanistic content and employ humanistic methods; and the study and application of the humanities to the human environment with particular attention to reflecting our diverse heritage, traditions, and history and to the relevance of the humanities to the current conditions of national life."

Work in the creative or performing arts--such as the writing of fiction or poetry, painting, sculpture, musical composition or performance, acting, directing, and dance--is not eligible for support by the National Endowment for the Humanities. Persons interested in support in these areas should write or call the National Endowment for the Arts. Critical, historical, and theoretical studies of the arts, however, are eligible for NEH support.

PRESIDENTIAL DIRECTIVES

The National Endowment for the Humanities participates in two government-wide Presidential Directives. Executive Order 12876 was promulgated in order to help strengthen and ensure the long-term viability of the nation's Historically Black Colleges and Universities, and Executive Order 12900 was issued by the White House on behalf of educational excellence for Hispanic Americans. The NEH encourages applications that respond to these Presidential Directives.

SPECIAL INITIATIVE

A special initiative is an undertaking by the Endowment to encourage proposals in all grant-making categories for projects relating to a specific subject or event. Proposals are currently solicited for the following initiative:

A National Conversation on American Pluralism and Identity

"All of our people--left, right, and center--have a responsibility to examine and discuss what unites us as a country, what we share as common American values in a nation comprised of so many divergent groups and beliefs. For too long, we have let what divides us capture

the headlines and sound bites, polarizing us rather than bringing us together.... This is to be a national conversation open to all Americans, a conversation in which all voices need to be heard and in which we must grapple seriously with the meaning of American pluralism."

-- Sheldon Hackney, Chairman
National Endowment for
the Humanities

In order to expand, inform, and enrich this national conversation, the Endowment invites proposals that address any of the complex topics and themes related to pluralism in America. The Endowment is particularly interested in how people--differentiated by ethnicity, race, or culture--have interacted within the framework of our national society (or, for comparative purposes, in other pluralistic societies) and what commonalities may have emerged as shared American values.

The goal of this initiative is to support humanities projects that will place questions about American pluralism and identity in historical and critical perspective, thus animating the national conversation on our shared values and differences and illuminating the evolving ideal suggested by our nation's motto, *E Pluribus Unum*. (As noted above, the focus of this initiative is on ethnic, racial, and cultural differences although other important differentiating and unifying factors such as class, gender, religion, or region may be interwoven where appropriate.)

Applications responding to this Endowment initiative should be submitted to regular Endowment programs and will be judged according to the criteria stated for those programs.

For examples of projects under this special initiative, please write to:

NEH Public Information Office
Room 402
1100 Pennsylvania Ave., N.W.
Washington, D.C. 20506

ELIGIBILITY

In general, individuals and nonprofit institutions (including associations and organizations) with tax exempt status are eligible to apply to NEH. However, eligibility requirements vary from program to program. *In the Subventions program only*, the eligible institutions include commercial presses. For additional rules on eligibility, an applicant should refer to the application materials for the particular program. Except where otherwise specified, individuals eligible for Endowment assistance include U.S. citizens and foreign nationals who have been legal residents in the

United States for a period of at least the three years immediately preceding the submission of the application. *For programs that accept institutional applications only*, foreign nationals who do not meet the residency requirement may apply if they are formally affiliated with an eligible institution in the United States and apply through that institution.

Applicants are not required to have advanced degrees, but candidates for degrees and individuals seeking support for work leading toward degrees are eligible **only** in the Faculty Graduate Study Program for Historically Black Colleges and Universities and in the Dissertation Grants program.

ELIGIBLE APPLICANTS

Program	Individuals	Institutions	Nomination Required
Fellowships for University Teachers	✓		
Fellowships for College Teachers and Independent Scholars	✓		
Summer Stipends	✓		✓*
Faculty Graduate Study Program for Historically Black Colleges and Universities		✓**	
Dissertation Grants	✓		✓
Editions	✓	✓	
Translations	✓	✓	
Subventions		✓	
Reference Materials	✓	✓	
Basic Research	✓	✓	
Archaeology Projects	✓	✓	
Humanities Studies of Science and Technology	✓	✓	
Conferences		✓	
Centers for Advanced Study		✓	
International Research Organizations		✓	

* Independent scholars and some others are exempt from the nomination requirement (see page 9).

** To be eligible, faculty members must apply through their institutions (see page 11).

All applicants are encouraged to contact the division staff early in their planning about questions of eligibility. Applicants should also bear in mind that eligibility does not ensure that an application will be competitive in the review process.

CHOOSING THE APPROPRIATE PROGRAM

The circumstances of the applicant, the duration and type of support needed, and the nature and scope of the project are the factors to consider in determining which program is appropriate for a specific project. Persons interested in the Faculty Graduate Study Program for Historically Black Colleges and Universities, Dissertation Grants, Subventions, Conferences, Centers for Advanced Study, or International Research Organizations should read the "Eligibility" section above and the program description later in this booklet to assist in determining if the program is appropriate, then consult program staff with any questions. The following distinctions should assist in choosing among the division's other programs:

Proposals for research projects that are submitted by an individual, *and* request one year or less of support, *and* are confined exclusively to salary costs for the individual project director should be submitted to Fellowships for University Teachers, Fellowships for College Teachers and Independent Scholars, or Summer Stipends.

Projects that are submitted by or through an institution, *or* require funding for more than one year, *or* consist of costs in addition to salary support for the project director are considered through the following programs, according to the nature of the project: Editions, Translations, Reference Materials, Basic Research, and Humanities Studies of Science and Technology.

The single exception to this policy is for projects in the field of archaeology. Proposals for support of the writing-up stage of excavation results are eligible for submission to Summer Stipends, to either of the NEH Fellowships programs, or to the Archaeology Projects program, subject to the distinctions noted in the previous paragraphs. However, all proposals that include survey or excavation components, including those from individuals, must be submitted to the Archaeology Projects program.

It is possible to apply to more than one program within the division and the Endowment. Proposals submitted to an inappropriate program, however, will not be considered for funding, and applicants will be required to wait until the next deadline of the appropriate program in order

to apply. To ensure that applications are submitted to the appropriate program, applicants should consult with an Endowment staff member as early as possible. In general, persons undertaking projects that require full-time work may hold only one award from the Endowment in a given year.

Please note that fellowships and small research awards are also available from a number of NEH-supported centers for advanced study and national scholarly organizations. See pages 26-27 of this booklet for further information.

WHAT THE RESEARCH DIVISION DOES NOT SUPPORT

The division does not support research or study undertaken in the pursuit of an academic degree *except* through two programs: the *Faculty Graduate Study Program for Historically Black Colleges and Universities* and *Dissertation Grants*.

The division also does *not* provide support for

projects that focus on pedagogical theory, research in educational methods, tests, and measurements, or cognitive psychology;

projects that advocate a particular political, philosophical, religious, or ideological point of view, or that advocate a particular program of social action or change; or

projects that examine controversial issues without taking into account competing perspectives.

NEH FELLOWSHIPS

NEH Fellowships provide opportunities for individuals to pursue advanced work that will enhance their capacities as teachers, scholars, or interpreters of the humanities and that will enable them to make significant contributions to thought and knowledge in the humanities. Fellowships are awarded through two programs: *Fellowships for University Teachers* and *Fellowships for College Teachers and Independent Scholars*.

Both programs provide support for full-time independent research and writing. The fellowships are awarded for a period of from six to twelve continuous months and carry a maximum stipend of $30,000. The individual stipend is based on the fellow's salary during the tenure period that is not covered by other sources such as other grant awards or an employer. Although some assistance may be provided within the limits of the stipend to help defray the costs of necessary travel, there is no special allowance for any other expenses. In both programs, preference is given to applicants who have not held major grants or fellowships within the three years preceding the proposed tenure period.

Fellowships for University Teachers is open to faculty members in departments and programs in universities that grant the Ph.D. and to faculty members of postgraduate professional schools.

Example
A professor of American literature applies for an NEH Fellowship to complete the writing of the first volume of a proposed six-volume biography of one of the most significant American figures, Benjamin Franklin. Volume one will cover the years from 1706 to 1748, the period from Franklin's birth to his retirement from business at age 42. Each volume will be preceded by a chronological log that will contain the dates of the meetings Benjamin Franklin attended, the references to him in diaries and newspapers, and all of his personal and business financial accounts. This six-volume biography promises to be both exhaustive and definitive, the standard biography of Franklin for a long time to come.

Example
A professor of American history at a midwestern university applies for support for the research and writing of an intellectual history of the Old South, 1810-61. Using extensive archival and other primary materials, the scholar will examine the South's cultural relations with the outside world; the internal dynamics of the Old South; and the multiple identities from within which intellectual culture was conceived, such as gender, race, and kinship. The project will result in a book that may set the terms of future discussion on Southern society and culture.

Fellowships for College Teachers and Independent Scholars is open to faculty members in two-year, four-year, and five-year colleges; faculty members of departments and programs in universities that do not grant the Ph.D.; individuals affiliated with institutions other than colleges and universities, such as libraries and museums; and scholars and writers working independently.

Example
A philosopher working in a non-Ph.D. granting department of a small state university applies for a fellowship to undertake an investigation of Kant's moral psychology. In his fellowship application, the scholar focuses on the methodological assumptions, principles, and mechanisms of human psychology as they underlay Immanuel Kant's moral philosophy. Kant's moral psychology, the applicant contends, assumed a fusion of feeling and human reason. The applicant plans to examine the method, principles, and mechanisms of Kant's moral psychology, both historically and in light of contemporary philosophy of psychology. The resulting book will address the timeless and significant subject of how morality guides human conduct and influences social and cultural institutions.

Example
An independent scholar applies for a fellowship to produce the first study of the domestic furniture found in the tomb of King Tutankhamen. The study will provide details about the construction and artistic motifs of the furniture and will result in a translation of the hieroglyphs that decorate the artifacts. Such knowledge can shed light on the cultural, political, artistic, and religious history of the ancient Egyptians. The book that results will bring a scholarly understanding to these antique artifacts and will appeal to both specialists and the general reading public.

SUMMER STIPENDS

Summer Stipends provide support for faculty and staff members in universities and two-year, four-year, and five-year colleges, and for independent scholars and others working in the humanities to pursue two consecutive months of full-time independent study and research. An applicant's project may be one that can be completed during the stipend period, or it may be part of a long-range endeavor.

Academic applicants must be nominated by their institution. Each college and university in the United States and its jurisdictions may nominate three members of its faculty and staff for the Summer Stipends competition. No more than two of the nominees should be in the early stages of their careers, that is, junior nominees; no more than two should be at a more advanced stage, that is, senior nominees. In the Summer Stipends program, academic applicants who hold the rank of instructor or assistant professor or who are at comparably early stages of their careers are considered to be junior nominees. Those holding the rank of associate professor or professor are considered to be senior nominees. Prospective applicants from academic institutions should become familiar with their institution's nomination procedures well in advance of the NEH application deadline. Non-faculty college and university staff who will not be teaching during the academic year in which the NEH application deadline occurs and academic applicants with appointments terminating by the summer following the NEH application deadline may apply without nomination. Independent scholars are eligible to apply without nomination.

Recipients of previous stipends and major fellowships are subject to certain eligibility rules and should consult the program guidelines.

Summer Stipends recipients may not hold major fellowships or grants during the tenure of their awards. Summer Stipends normally support work carried out during the summer months, but arrangements can be made for holding tenure for other times of the year. The stipend award for projects not requiring travel is $4,000. For projects that require travel of a significant distance to an appropriate research collection, library, museum, or archive within the United States or abroad, the stipend is $4,750.

Example

A professor of history at a large midwestern university proposes a study of political culture and the emergence of democracy in modern Iran. The project will focus on a key episode in early twentieth-century Iran, when, according to the applicant, for a short time democratic forces emerged to challenge both the repressive power of Islamic clerics and the meddling of tsarist Russia in Iranian politics. From 1906 to 1911, Iran became the scene of a major democratic transformation known as the "Constitutional Revolution," which led to the creation of a parliament, a bill of rights

modeled on our ten amendments, democratically elected provincial and urban councils, and an active and vibrant free press. The stipend would support the completion of archival research for a proposed book.

Example

A professor of philosophy proposes to examine one of Plato's masterworks of political philosophy, *The Laws*, to reveal how this ancient heritage is more complex than supposed. Although it is Plato's last and longest dialog, *The Laws* has been little discussed in modern times; far more attention has been paid to his earlier, less democratic and more transcendental Utopian dialog, *The Republic*. The project will show that in Plato's late works his interest shifts from an almost exclusive concern with the "Ideas" to the complexity and untidiness of the everyday world, including an increased faith in the capacity of common people to think and govern themselves in a rational and responsible way. The project will result in part of a book on *The Laws'* ethical and political theory.

FACULTY GRADUATE STUDY PROGRAM FOR HISTORICALLY BLACK COLLEGES AND UNIVERSITIES

The Faculty Graduate Study Program for Historically Black Colleges and Universities is designed to strengthen the teaching of the humanities at these institutions by providing one year of support for teachers to work toward the completion of a doctoral degree in the humanities.

An applicant to this program must be employed at a historically black college or university and must have already completed at least one year of graduate work. Preference is given to individuals who are at the dissertation stage. These fellowships are for study and research at any accredited institution of higher education in the United States that offers a doctoral degree in an appropriate discipline of the humanities. (Graduate study leading to a doctorate in education is ineligible.)

The maximum stipend is $30,000 for a tenure period of nine to twelve months. Fellows must devote full time to the proposed plan of study and may not accept teaching assignments or undertake other major activities during tenure of the award. In addition, Fellows are expected to be in residence at the institution where the doctorate is being sought, except during any travel necessary for dissertation research. The grant is intended to be equivalent to the applicant's academic-year salary and to assist in covering tuition and required fees, books, and other associated costs, including, where applicable, temporary relocation expenses for the period of the grant. Grants in this program are made through the applicant's institution.

In addition to those fellowships offered by NEH, the East-West Center in Honolulu, Hawaii, offers two four-month fellowships within the Faculty Graduate Study Program for Historically Black Colleges and Universities. The East-West Center is a non-degree-granting education and research institution that fosters mutual understanding and cooperation among the governments and peoples of the Asia-Pacific region. The recipients will spend one semester at the East-West Center, taking at least one Asian studies course from the University of Hawaii, and developing curriculum materials to infuse comparative Asian content into courses they teach in the humanities or social sciences at their home institution. Recipients will also participate in the educational and research program of the center.

Example

A faculty member of a music department in a small historically black college applies for an HBCU Faculty Graduate Study Fellowship to write a dissertation on "African American Music Traditions in Northeast Mississippi: An Ethnomusicological Treatment." The study will document and analyze continuity and changes in five music traditions: blues, gospel, revival and baptismal songs, shape note hymn music, and Mississippi fife and drum music. The faculty member is pursuing a Ph.D. in musicology at a large southern university.

DISSERTATION GRANTS

Dissertation Grants encourage excellent scholarship and teaching in the humanities by providing support for doctoral candidates to devote full time to completing their dissertations.

To be eligible to apply, an applicant must 1) be a Ph.D. candidate in good standing at a U.S. institution in a field of the humanities; 2) have, by the NEH application deadline, the dissertation topic and plan approved by the dissertation director and by the graduate institution or program; 3) have completed, by the NEH application deadline, all requirements for the Ph.D. except the dissertation; and 4) be a United States citizen or a U.S. national of American Samoa. All applicants must be nominated by their doctoral institutions. Each Ph.D.-granting institution may nominate up to five eligible doctoral candidates to be Dissertation Grants applicants. Dissertation Grants will be awarded to no more than two candidates from any one Ph.D.-granting institution.

The stipend is $14,000 for a tenure period of six to twelve months of uninterrupted work on the dissertation. The Endowment expects the grantee to complete the dissertation by the end of the grant tenure period. Grantees may not accept a teaching assignment or undertake any other major activity or employment during grant tenure. It is the Endowment's expectation that graduate institutions will waive tuition and fees for Dissertation Grant recipients.

Example

The religious shrine at Lourdes, according to a doctoral candidate in European history, "is perhaps the most well known site of Christian pilgrimage in the world today, with the exception of Jerusalem and Rome," attracting almost six million pilgrims each year. In contrast to those traditional sites, Lourdes is a phenomenon of the modern world, having become a place of pilgrimage in 1858. By 1882 a medical bureau had been established there "to verify all miracles through 'rational scientific' methods," and the popular press and railroads were used to attract a national audience. The dissertation explores this site of modern religious fervor in the context of medicine, industrial technology, advertising techniques, and the "proliferation of mass-produced, cheap but sacred consumer objects." The research upon which the dissertation is based includes work with official correspondence of the *préfecture* of the police in the Hautes-Pyrénées, governmental archives in Paris, and archival material collected at the shrine, such as pilgrims' letters describing their cures and experiences at Lourdes.

EDITIONS

Editions grants support various stages of the preparation of authoritative and annotated print, electronic, and microform editions of works and documents that are of value to humanities scholars and general readers. The Endowment supports projects that make available important texts, documents, and other materials that have been either previously inaccessible or available only in inadequate editions. All editions supported by the Endowment are accompanied by critical introductions and annotations that provide essential information about the form, transmission, and historical and intellectual context of the texts and documents involved. The Endowment encourages proposals to edit important historical and literary materials in the collections of historically black colleges and universities; texts and documents pertaining to Native American, Hispanic American, and Asian American history and culture; and documentary editions dealing with significant historical topics and events.

Because complete editions in printed volumes are expensive to produce, Endowment evaluators frequently recommend selected editions, electronic editions, microform editions, or editions that combine printed volumes with other media; many evaluators also recommend electronic over microfilm editions for ease of access.

Awards in the Editions program are made for up to three years and usually range from $40,000 to $150,000 per year, depending on the scope of the project.

Example

An independent scholar applies for support to edit the early notebooks, sonnet sequences, and later poetry of William Wordsworth as part of the larger Cornell Wordsworth edition of the poet's works. Wordsworth's career spanned sixty-five years, during which time he revised much of his poetry. Previous editions have included either composite or final versions of the poems. In contrast, the new edition will present a complete record of the variant readings from Wordsworth's earliest drafts to the final revised form, allowing scholars to trace the development of the poet's art. The accompanying critical apparatus will also provide a framework for understanding the context in which the poetry was written. Over a two-year period, the project staff will edit the poems, verify transcriptions, and write introductions to each of the three volumes.

Example

A state university applies for support to continue work on an edition of the papers of George Washington. A six-volume edition of Washington's diaries has been completed. A team of scholars, under the supervision of the project director, is now editing the bulk of the Washington documents to be published in four series. These series will focus on the colonial period, the Revolutionary War, the confederation period, and Washington's presidency. Twenty-two volumes in these four series have been published, and four more will be completed during the grant period. With the aid of a private foundation, the project is nearing completion of a CD-ROM edition of the papers, which will contain a preliminary transcription of the more than 130,000 Washington documents. The laser disk will benefit scholars, teachers, and students; it will also be a valuable research tool for the editors as they complete work on the printed edition.

TRANSLATIONS

Translations grants support individual or collaborative projects to translate primary sources, interpretive works, or literary masterpieces from any language into English. The Endowment welcomes proposals that provide insight into the intellectual and artistic achievements of diverse cultures, past and present. Of particular interest are projects that would make the major texts of other civilizations available to scholars, students, teachers, and general readers, either by means of print or electronic publication. All applicants must make a convincing case for the significance of the works to be translated, both for the civilizations or cultures that produced them and for current scholarship in the humanities.

Translations supported by the Endowment must provide introductions that supply historical and cultural background information and annotations that clarify points of translation and interpretation. Applicants should justify their choice of an existing edition or, when the editing of original sources is required, describe how they will arrive at an authoritative text. All applications must be accompanied by a five- to seven-page sample translation, as well as examples of the annotation and a discussion of the introductory essay, afterword, appendixes, or other material that will accompany the finished translation.

Applicants who wish to retranslate works already available in English must convincingly demonstrate the need for a new translation, for example: The earlier translation was prepared from a flawed text, the translation itself is flawed, or the English of the translation is so dated that it impedes the reader's understanding and enjoyment of the work. All translations and retranslations must be accompanied by critical apparatus.

Awards in the Translations program are made for up to three years and usually range from $30,000 to $150,000, depending on the scope and duration of the project. Individuals who need only salary replacement for a period of one year or less should apply to Fellowships for University Teachers, Fellowships for College Teachers and Independent Scholars, or Summer Stipends.

Example

A group of scholars plans to prepare an anthology of Ottoman Turkish lyric poetry in English translation. The volume, to contain 75 poems written between the fourteenth and eighteenth centuries, will be the first major translation from Ottoman literature since the turn of the century. It will include biographical sketches of the poets, extensive annotation of words and phrases in the texts, explanation of literary allusions, historical background for the period, and illustrations. The project director will develop the translations in collaboration with an English-language poet, a scholar who is a native Turkish speaker, and another expert in Ottoman literature. The anthology in translation promises to revitalize interest in Ottoman literary studies and to serve as a valuable aid in the classroom.

Example

A pair of scholars proposes to translate critic Walter Benjamin's *Arcades Project* with introduction and notes. The text, a lengthy theoretical work focused on the phenomenon of the Paris arcades, was published posthumously in 1982. It links essays, sketches, commentary, and citations, ranging widely over the intellectual history of the nineteenth century. This, the first complete English translation, will be an important contribution to interdisciplinary scholarship. The two translators will divide responsibility for the bilingual text, one translating the German passages, the other the French. They will supply an introduction, notes that explain references made by the author, identification and annotation of the many works the author cites, a registry of names, and a glossary. The resulting volume will appear in a six-volume edition of Benjamin's writings to be published by a university press.

SUBVENTIONS

Subventions grants of $7,000 are available to support the publication and dissemination of scholarly books in all fields of the humanities. In order to be competitive, a book proposed for subvention must be important to humanities scholarship and, if possible, to nonspecialists. Interpretive studies, editions, translations, and reference works are all eligible in this program.

Applications are particularly encouraged for support of books of lasting value. Whether the book is likely to represent a financial loss to the press is not a factor in the review process. The Endowment's evaluation of the application will rely on review that includes scholars and publishers. No preference is given to books resulting from projects that have received previous NEH support.

Applicants must be established publishers or scholarly publishing entities that have their place of business in the United States. Trade publishers of scholarly books, university presses, commercial presses, and publishers other than university presses (such as museums or historical societies) are all eligible to apply. Applications from individuals are not eligible. Publishers may submit no more than four applications in any one review cycle.

Example
A university press applies for a subvention to publish a comprehensive study of the Hellenistic era. The author is a senior historian who provides a detailed description and analysis of politics, literature, philosophy, religion, and science in the period. This synthesis of existing scholarship will provide a broad general audience with access to the most recent research findings in classical studies. The press plans an initial print run of 4,000 copies; a paperback edition of the volume will be published later for use by students.

Example
A museum's publishing program requests support to publish an innovative study of the art of a Native American tribe located in the northwestern United States. Drawing on detailed ethnographic research, the author challenges previous scholarly conclusions that religious beliefs inspired the artists. Using copious photographs, she demonstrates that the artists were motivated by their society's need to differentiate visibly between kinship and economic groups and that clan membership and the desire to affirm social dominance, rather than religion or nature, explain the artists' choices of media and motifs. The volume will be important to art historians, scholars in Native American studies, and social historians in many specializations.

REFERENCE MATERIALS

Projects to make information and resources more readily available to scholars and researchers are considered in the Reference Materials program. Support is available for the creation of dictionaries, historical or linguistic atlases, encyclopedias, concordances, reference grammars, *catalogues raisonnés*, other descriptive catalogues, databases, textbases, hypermedia and multimedia products, and other projects that will provide essential scholarly tools for the advancement of research or for general reference purposes. Support is also available for projects that address important issues related to the design or accessibility of reference works, such as the Text Encoding Initiative sponsored by the Association for Computers and the Humanities and several other professional associations. Projects to produce electronic reference works are encouraged.

Applicants to the Reference Materials program must make a convincing case for the importance of the project and for the ways in which information will be organized and presented. In addition, applicants must demonstrate that the format chosen for the proposed reference work (printed volume, CD-ROM, network access, etc.) represents the most effective means of disseminating the information.

Awards can be made for periods up to three years and typically range from approximately $20,000 to $250,000, depending on the scope of the project.

Example

A group of scholars is prèparing an electronic textbase of the fiction, family journals, conduct books, tracts on moral upbringing and education, and poetry written in English between 1330 and 1830 by about 900 women authors. The work of women authors has become the focus of intensive interdisciplinary study. Since there is a dearth of accessible and authoritative texts of these works, this project addresses the pressing needs of scholars and teachers. After identifying the most important works, the project staff will encode the texts employing Text Encoding Initiative principles and enter them into the university's computer system, providing at the same time for a means of searching them electronically. Assistance with encoding and entry will be available from cooperating projects at other universities, and some texts will be published in printed editions for scholarly or class use. The project staff plans to update the textbase as needed and develop a program for wide electronic dissemination.

Example

An international team of scholars, cartographers, museum curators, and computer experts arranges to bring together rare indigenous Indian maps and to supplement them with related maps, drawings, photographs, and catalogue information. They create hypermedia links to allow researchers to search and manipulate the digitized images. The completed electronic tool will make available for the first time a vast body of maps that has been nearly inaccessible because they are so rare and so widely scattered among repositories. The maps and supporting material will provide firsthand information on the ways in which Native Americans viewed their world. It will facilitate more comprehensive study of Native American civilizations and allow the integration of their representations of the world into the fields of cartography and geography. The material will be made available on CD-ROM and online.

BASIC RESEARCH

Basic Research supports original research undertaken by two or more scholars and complex projects coordinated by individual scholars that require travel, field research, the use of research assistants or consultants, or other costs and activities in addition to salary support or released time for the principal investigator. Applications are especially encouraged that connect humanities fields or disciplines and that promise to break new ground or offer fresh perspectives in the humanities.

Applicants must make a convincing case for the importance of the project, present a sound methodology and plan of work, and demonstrate that staff and institutional resources appropriate to the goals of the project are available and committed. Projects may require various combinations of scholars, consultants, and research assistants; project-related travel; and technical support and services. Grants support full-time or part-time activities for periods of up to three years. All projects are expected to lead to major publications.

Awards normally range from $10,000 to $250,000 over a maximum grant period of three years.

Example
Two film historians at separate universities propose to prepare an original interpretive history of African American documentary films and videos spanning a fifty-year period, 1943-93. They will enlist the help of five additional film scholars, each of whom will write one chapter on a historical period or a specific type of documentary film/video. Considered as both social and aesthetic documents, the films and the related interviews with filmmakers will provide a unique perspective on how African Americans saw themselves and how they chose to present themselves to others.

Example
A historical sociologist at a small, private liberal arts college and a colleague at a large state university organize a team of over a dozen scholars for a three-year study of the history of land and water use and conservation in the Upper Rio Grande region of northern New Mexico and southern Colorado. The specialties of the collaborators and consultants range from agricultural and economic history to botany and anthropology. The research will be concentrated on historic Hispanic (Spanish and Mexican) family farms in the area, some going back as far as 150 years. One major issue for investigation is the conflicting evidence about the care and environmental concern exhibited in the use of land by Pueblo Indians, Hispanic farmers, and Anglo ranchers.

ARCHAEOLOGY PROJECTS

This program supports archaeology projects that promise to strengthen understanding of history and culture by disseminating the results of archaeological fieldwork. Support for research at foreign and domestic sites may encompass survey, excavation, materials analysis, laboratory work, and field reports. Applicants who seek funding for major projects, either for excavation or regional survey, should have completed preliminary investigations; if not, the research team may request a grant for a preparatory investigation. Support is available for site and artifact conservation only if these elements are an integral part of a larger project that focuses on problems of research and interpretation in the humanities. Proposals that focus exclusively on materials analysis should be submitted to the National Science Foundation.

The Endowment supports projects that include survey and excavation components with outright funds of up to $20,000 per year for a maximum of three years; additional support is available only through federal matching funds.

Example
Collaborating closely with the Ponca and Omaha peoples, a group of archaeologists, historians, and biological scientists proposes the study of previously excavated mortuary remains from those tribes. This project will examine Euroamerican contact in the Central Plains during the late eighteenth century. In particular, the collaborators will investigate the effect of early Missouri River fur trade on native peoples. The examination of human skeletal remains will reveal the degree to which the diet and health of Central Plains native peoples changed after contact with European traders, while the study of the material culture and historical sources will provide insights into developments in Ponca and Omaha art and religious practices. Besides preparing a scholarly publication, the project will produce a popular account to be written in collaboration with the Omaha Tribal Historian.

Example
A team of archaeologists proposes a field survey and excavation of a major Roman harbor town in North Africa, focusing on the city plan, the impact of the environment and natural ecology on the development of the town, and the role of the port in the Mediterranean economy. The team will develop a typology of local ceramic wares that will help to establish a chronology for the site and also will be useful at other sites throughout the Mediterranean to which these wares were exported. The research will involve close collaboration of the team from the United States with international consultants and the active participation of archaeologists from the host country. An important part of the research design includes plans for immediate publication of results.

HUMANITIES STUDIES OF SCIENCE AND TECHNOLOGY

Humanities Studies of Science and Technology support research that brings to bear the knowledge, methods, and perspectives of the humanities on science, technology, and medicine. Historical research and studies of current topics are eligible; studies of current science, technology, or medicine must deal with fundamental issues, and the humanities must play a central role. Individuals and institutions are eligible to apply for projects that, because of their scope, complexity, or duration, cannot be accomplished through one-year fellowships. The Endowment encourages studies that promote the collaboration of humanities scholars with scientists as well as projects that promise to improve interdisciplinary approaches to research. Grants may be awarded for periods of up to three years. All projects are expected to lead to major publications.

Support is available for research in many areas of inquiry that include, but are not limited to, the form, content, and purposes of scientific knowledge; the processes through which scientific knowledge is developed; the invention, innovation, and transfer of technology; the social, moral, and legal meaning of specific scientific and technological innovations; the interaction among sciences, technology, medicine, and other elements of culture; and the methods and concepts that the humanities use to study science, technology, and medicine. The Endowment supports projects that employ historical and philosophical approaches to the social sciences but does not support empirical social scientific research, specific policy studies, or technical impact assessments. The Endowment encourages applications for biographical studies of significant figures in science, technology, and medicine.

Awards, for periods up to three years, normally range from $10,000 to $200,000.

Example

A philosopher of science and a historian of science propose a study of Johannes Kepler's intellectual development and accomplishments in astronomy and physics. The study will clarify the pivotal role of his thought in the transition from Renaissance humanism to modern science. The two collaborators, from separate institutions, will examine the variety of natural philosophies available to Kepler early in his career, the university culture he encountered, and the intensely reform-minded religious context in which he lived. The collaborators present a detailed plan of work to use this setting to illuminate Kepler's innovations in the content and methods of science. The end result of this project will be a book accessible to a wide audience in the humanities, including historians and philosophers of science.

Example

A historian proposes to write a comprehensive biography of Thomas A. Edison that will locate Edison, his colleagues, and his laboratories within the context of American technological innovation and entrepreneurship. The biography promises new insights into Edison's creativity, his development of the research laboratory, and his contributions to American industrialism. The proposal presents a plan to integrate a study of the organization of Edison's group of advisors and associates into a comprehensive new treatment of his life and work. This scholarly biography is intended to be of interest to students and the general public.

CONFERENCES

This program supports conferences designed to advance research in a field or topic of major importance in the humanities. These conferences bring together scholars working on related topics in one or several disciplines at a time when the open exchange of ideas will most benefit ongoing research. A conference may respond to a critical juncture in research on a particular topic, the availability of new data or materials, or the need to integrate the results of disparate studies and other developments that affect future directions for research. All projects should have research objectives that can be best achieved by a conference. Presenters at conferences usually number ten to twenty and should be those scholars, junior and senior, American and foreign, whose current work and interests make them best suited to contribute to the conference. The number of other participants may vary depending on the nature of the conference and may include faculty from a wide range of institutions, undergraduate and graduate students, and members of the public. Conferences should be widely advertised, and additional participants should be sought in a manner that is open, equitable, and appropriate to the subject and purposes of the conference.

Recurrent meetings of professional organizations, societies, and formal or informal associations of scholars are not eligible in this program; special conferences devoted to specific topics, however, can be considered. International scholarly conferences held in the United States are encouraged, but proposals for meetings in foreign locations are rarely funded. While other types of conferences are supported by other programs and divisions of the Endowment, interpretive research conferences are concerned principally with the advancement of scholarly research.

In addition to the costs of publicizing and conducting the conference itself, Endowment funds awarded to the sponsoring institution or organization support travel and other expenses of participants. Support is also available for a limited number of stipends to offset travel and *per diem* expenses for graduate students and junior faculty who have a scholarly interest in the subject of the conference; these stipends should be allocated through open and equitable selection procedures. Endowment funds may also be applied to the costs of preparing conference proceedings for publication but not to the actual costs of publication. The Endowment particularly encourages online publication of conference papers immediately after a conference takes place, and will defray reasonable costs of making them available on gopher, ftp, or World Wide Web servers. Grants range from approximately $10,000 to $50,000, depending on the nature of the project and the number of presenters.

Example
A scholar applies through his university for support to organize a three-and-one-half day conference on the Terror during the French Revolution, its place in history, and its significance in current historiographical debate. Representing diverse points of view and approaches, both junior and senior scholars from Europe and the United States will meet to discuss what phenomena the Terror comprised, including the use of violence, the cultural idealism that it expressed, and its social and economic programs. In order to facilitate discussion, the project director will circulate the papers in advance and ask commentators to provide a brief critical analysis of each paper at the conference, thereby allowing two-and-a-half hours for discussion in each session. In order to share the results with other interested scholars, the conference papers will be published.

Example
A university's center for East Asian research proposes a three-day international conference on contemporary Chinese fiction and its antecedents in the literature of the May Fourth era. Recognizing that the literatures of these two periods have never been subjected to a systematic comparison, the organizers design the conference to encourage productive dialogue between those scholars, both junior and senior, who have worked separately in the literature of these periods and those who have begun comparative study. The conference will address the definition of "modern" in Chinese literature, the absorption of Western influences, and the role of the imagination under varying degrees of political control. By circulating the working papers in advance, the organizers assure ample time for discussion. The conference will involve thirty presenters and is expected to attract about seventy other scholars with interests in Chinese and East Asian studies or comparative literature. Publication of the papers, revised after the conference discussions, will share results of the conference among a wide range of scholars.

CENTERS FOR ADVANCED STUDY

Through Centers for Advanced Study grants, the Endowment supports postdoctoral fellowship programs at research libraries and museums and other centers for advanced study that are financed, governed, and administered independently of institutions of higher education. Because the purpose of Endowment support is to enhance existing fellowship programs, only centers that already award fellowships from their own funds or funds from other sources are eligible to apply. In assessing an application from a center, the Endowment emphasizes the intrinsic importance of the work to be undertaken at the center, the relation of this work to the center's collections and other facilities, the quality and productivity of the center's previous fellows, and the degree to which arrangements at the center promote collegial exchange.

Fellowships awarded by the centers with NEH support enable individual scholars to pursue their own research and to participate in the interchange of ideas among the center's scholars for periods ranging from four to twelve months. Centers that wish to apply to this program should write to the Endowment to request more detailed information and application instructions.

Among centers presently receiving Endowment support are the Huntington Library, the Schomburg Center for Research in Black Culture, and the School of American Research. A complete list of currently funded centers is available from the Endowment on request. Individual scholars interested in pursuing research at any of the centers receiving Endowment support should apply directly to the centers.

INTERNATIONAL RESEARCH ORGANIZATIONS

Through International Research Organizations grants the Endowment supports the work of American research centers overseas and national organizations and learned societies that have expertise in the promotion of research on foreign cultures. Grants made by these centers and organizations with the Endowment's assistance enable American scholars to pursue research in the United States and abroad and collaborate with foreign colleagues.

Organizations currently offering NEH research grants include the American Research Institute in Turkey, the Committee on Scholarly Communications with China, and the International Research and Exchanges Board, which administers grant programs for research in Eastern Europe, Mongolia, and the republics formerly a part of the Soviet Union. A complete list of currently funded international research organizations is available from the Endowment on request. Individual scholars interested in applying to any of those organizations for support should request application instructions directly from the organization.

APPLICATION PROCEDURE

Application materials for formal submission are available several months before a particular program's deadline. After reading this booklet, persons with questions about eligibility (of the applicant or the project) or about which program is suitable for the project should call or write for assistance well in advance of the application deadline. Draft proposals, which are read and commented on by staff in all programs except NEH Fellowships, Summer Stipends, and Dissertation Grants, may be submitted at least two months before the deadline.

The complete application package should be directed to the appropriate program and must be postmarked by the application deadline to be considered in the competition. Receipt of the application will be acknowledged within four weeks after the application deadline. Applicants who do not receive such an acknowledgment should call or write the Endowment as soon as possible. Once the Endowment has received a formal application, staff will not comment on the status of that application except with respect to questions of receipt, completeness, or eligibility. The review of formal applications in the Division of Research Programs requires varying lengths of time, ranging from five to eleven months. Applicants are notified by letter once a final decision has been reached.

EVALUATION CRITERIA

The specific criteria that evaluators consider in the review of applications are included in the application materials for each program. The following are typical criteria for most Research Division programs:

1. The intellectual significance of the project, including
   - its potential contribution to scholarship in the humanities,
   - its relationship to larger themes or issues in the humanities, and
   - the significance of the material on which the project is based.
2. The appropriateness of the research questions posed in the project, research methods, critical apparatus, editorial policies, or translation approaches, including
   - the thoroughness and feasibility of the work plan,
   - the quality of the samples, e.g., their content, accuracy, readability, and the clarity and helpfulness of annotations, and
   - the appropriateness of the field work to be undertaken, the archives or source materials to be studied, and the site.
3. The quality and expertise of the principal investigator and any other project staff or contributors.
4. The quality and usefulness of any resulting publication, product, or outcome, including
   - the benefit to the audience, and
   - the soundness of the dissemination plans, including the strength of the case for producing print volumes, microform, CD-ROM, database, or a combination of media.
5. The potential for success, including
   - the likelihood that the project will be successfully completed within the projected time frame,
   - where appropriate, the project's previous record of success, and
   - the cost effectiveness of the project.

THE REVIEW PROCESS

Each application to the Division of Research Programs is carefully assessed by knowledgeable persons outside the Endowment who are asked for their judgments about the quality and significance of the proposed project. More than 1,200 scholars, professionals in the humanities, and other experts serve on approximately 250 panels throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds. The judgment of panelists normally is supplemented by individual reviews solicited from specialists who have extensive knowledge of the specific subject area or technical aspects of the applications under review.

The advice of the panels and outside reviewers is assembled by the staff of the Endowment, who comment on matters of fact or on significant issues that would otherwise be missing from the review. These materials are then presented to the National Council on the Humanities, a board of twenty-six citizens nominated by the President of the United States and confirmed by the Senate, which advises the Chairman of the Endowment. The Chairman, who is appointed for a four-year term by the President with the consent of the Senate, takes into account the advice provided by this review process and, by law, makes the final decision about funding.

PROJECT BUDGET

Some programs of the Research Division provide a predetermined stipend; these programs either require the submission of a simple budget with the application or do not require a budget. Other programs require that a detailed budget accompany the application for funding. Such project budgets may include costs such as salaries and wages, fringe benefits, consultant fees, travel, supplies and materials, services, and indirect costs. All budgeted costs must be (1) incurred within the grant period, (2) related to the proposed project activities, (3) reasonable, and (4) backed by auditable records. Both costs paid for by NEH and those paid for or contributed by other sources should be included in the budget. Those programs that require a detailed budget include budget instructions in their guidelines.

OUTRIGHT AND MATCHING FUNDS

The Endowment supports projects with outright funds, matching funds, and a combination of the two.

Outright Funds
Outright funds are awarded by the Endowment to support approved projects and are not contingent on additional fund raising by the grantees.

Matching Funds
Matching funds, by contrast, require a grantee to secure gift funds from third parties before federal funds are awarded. Endowment matching grants are made on a one-to-one basis and are intended to stimulate private support for projects in the humanities by offering potential donors the incentive of doubling the impact of their gifts.

Because matching awards enable the Endowment to provide support to a greater number of significant but often costly projects, applicants are encouraged to request complete or partial support in the form of matching grants. Whenever possible, applicants requesting matching funds should identify potential sources of gift funds at the time they submit an application to the Endowment.

Matching funds are not pertinent in the following programs: Fellowships for University Teachers, Fellowships for College Teachers and Independent Scholars, Summer Stipends, Faculty Graduate Study Program for Historically Black Colleges and Universities, Dissertation Grants, and Subventions. Applicants to all other programs of the Research Division are encouraged to seek support through federal matching funds.

Combined Funds
Applicants may also request a combination of outright and matching funds from the Endowment. For example, if a project will cost $40,000, and the applicant will contribute $10,000 to the project's cost and expects to receive an additional $5,000 from an eligible third-party donor, the applicant should request $5,000 in matching funds. The balance of the project's costs ($20,000) may be requested in outright funds.

The Endowment may offer funding at a level different from that requested. In some instances, the Endowment may offer matching funds only, or it may offer a combination of matching and outright funds in response to a request for outright funds.

COST SHARING

The Endowment expects that a portion of a project's total costs will be supported by the institution that is conducting or administering the project. The percentage of cost sharing may vary by program, and type of project. In all cases, however, cost sharing consists of the cash contributions made to the project by the applicant and by third parties as well as third-party, in-kind contributions, such as donated services and goods. The applicant's cost sharing may include both direct costs and indirect costs. Cost sharing also includes gift money raised to release federal matching funds. For institutional applicants, the Endowment's contribution to a project generally will not exceed 80 percent of the total project costs.

Individual applicants need not show cost sharing in their applications unless they are requesting federal matching funds, in which case the gifts are shown as cost sharing. Individual applicants who receive grants only in outright funds are not expected to provide cost sharing.

GENERAL ADVICE

All applications to the Endowment should present, in a clear, coherent manner, a sound intellectual justification for the proposal and an appropriate plan of work. Applicants should bear in mind that the evaluators may include both experts on the topic and scholars whose knowledge of the subject is that of the educated layman. Successful applicants eschew jargon, clichés, pedantry, unsubstantiated claims, unnecessary repetition, and imprecise prose. Titles of projects should be brief, descriptive, and substantive. Proposal narratives should not exceed the length suggested in the application materials for the particular program.

Applicants who use computers and other automation technology, other than word processing, should, after consulting the detailed application instructions of the appropriate program, describe the system they intend to use. The Endowment understands that some of the components may be changed as new technology becomes available.

Applicants are also urged to begin the preparation of proposals early.

APPLICATION DEADLINES

Deadlines are subject to change. Applicants should consult current guidelines brochures and application instructions.

Program	*Application Postmark Deadline*	*For Grant Period Beginning On or After*
Fellowships for University Teachers	May 1	January 1 of the following year
Fellowships for College Teachers and Independent Scholars	May 1	January 1 of the following year
Summer Stipends	October 1	May 1 of the following year
Faculty Graduate Study Program for Historically Black Colleges and Universities	March 15	September 1 of the following year*
Dissertation Grants	October 15	May 1 of the following year
Editions	July 1	May 1 of the following year
Translations	July 1	May 1 of the following year
Subventions	February 1	September 1 of the same year
Reference Materials	November 1	September 1 of the following year
Basic Research	March 15	January 1 of the following year
Archaeology Projects	October 1	May 1 of the following year
Humanities Studies of Science and Technology	October 1	May 1 of the following year
Conferences	May 15 December 15	January 1 of the following year** September 1 of the following year**
Centers for Advanced Study	October 1***	September 1 of the following year
International Research Organizations	October 1***	September 1 of the following year

* Tenure usually begins September 1; however, tenure may begin between January 1 and September 1.

** Conferences typically take place six to twelve months after the beginning of the grant period.

*** These are NEH deadlines for applications from the sponsoring organizations; each organization has its own deadlines for applications from prospective fellows.

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Reference Materials	Martha B. Chomiak	202/606-8358
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(NEH will not accept applications sent via FAX machine or electronic mail.)

EQUAL OPPORTUNITY STATEMENT

Endowment programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to the Equal Opportunity Officer, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506. TDD: 202/606-8282 (this is a special Telephone Device for the Deaf).

Compliance with Other Federal Laws

Applicants should be aware that a number of other federal laws and regulations apply to Endowment-supported projects. Depending on the project, these may include compliance with

- the NEH Code of Ethics governing research, publication, and public programming in projects related to American Indian, Aleut, Eskimo, or native Hawaiian peoples;
- Department of Labor minimum compensation requirements; and
- a Congressional preference for the purchase of American-made equipment and products.

Other requirements may apply, and applicants are encouraged to consult with Endowment officers early in the application process.

R95-5

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